NONPROFIT ORGANIZATION

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 C.F R 1 9(e) AND 1.27(d)) - NONPROFTT ORGANIZATION

I hereby declare that I am an offici-	al empowered to act on behalf of the	nonprofit organization identified below
NAME OF ORGANIZATION: ADDRESS OF ORGANIZATION:	The Regents of the University of C 300 Lakeside Drive 22nd Floor Oakland, California 94612-3550	alifornia
b) TAX EXEMPT UNDER 1 c) NONPROFIT SCIENTIFY STATES OF AMERICA d) WOULD QUALIFY AS 1 501(a) AND 501 e) WOULD QUALIFY AS N OF STATE OF THE UNI OF AMERICA	ER INSTITUTION OF HIGHER ED NTERNAL REVENUE SERVICE C OR EDUCATIONAL UNDER S'	CODE (26 U.S.C. 501(a) AND 501(c)(3)) FATUTE OF STATE OF THE UNITED L) CATED STATES OF AMERICA COLORADO IN THE UNITED STATES COLORADO IN THE UNITED STATES
37 C.F.R. 1.9(c) for purposes of paregard to the invention, entitled Al	ying reduced fees under Section 41(VIMAL MODELS OF HUMAN PRO Millian Owen Witte and Robert Re	ies as a nonprofit organization as defined in a) and (b) of Title 35, United States Code, in OSTATE CANCER PROGRESSION by ter described in
b) provisional appli	cation serial no, filed	
c) on-provisional a	pplication serial no. <u>08/951,143</u> , fil	ed October 15, 1997
d) patent no.	issued	
I hereby declare that rights under corganization with regard to the abo	ontract or law have been conveyed to occupied to occupie the conveyed to occup	o and remain with the nonprofit
rights to the invention is listed belo inventor, who could not qualify as not qualify as a small business con *NOTE: Separate verified stateme	ow* and no rights to the invention a an independent inventor under 37 C cern under 37 C.F.R. 1.9(d) or a nor	individual, concern or organization having re held by any person, other than the E.F.R. 1.9(c) or by any concern which would aprofit organization under 37 C.F.R. 1.9(e) person, concern or organization having F.R. 1.27)
NAME UroGenesys		,
ADDRESS 1701 Colorado Avenue.	Santa Monica, California 90404 b) Small Business Concern	c) NONPROFIT ORGANIZATION
NAME ADDRESS A) NDIVIDUAL	b) ☐ SMALL BUSINESS CONCERN	() NONPROFT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereof, or any patent to which this verified statement is directed.

NAME:

Emily Waldron

TITLE:

Technology Transfer Officer

ADDRESS:

UCLA Sponsored Research 1400 Ueberroth Building 405 Hilgard Avenue

Los Angeles, California 90024

SIGNATURE:

DATE:

The state of the s



VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 C.F.R. 1.9(1) AND 1.27(c)) - SMALL BUSINESS CONCERN

I hereby de	eclare th	nat I am
		the founder of the small business concern identified below: an official of the small business concern empowered to act on behalf of the concern identified below:
		NAME OF CONCERN: UroGenesys ADDRESS OF CONCERN: 1701 Colorado Avenue Santa Monica, California 90404
13 C.F.R. 35, United For purpos concern of concerns a	121.801 States ses of the the per	hat the above identified small business concern qualifies as a small business concern as defined in 1-805, and reproduced in 37 C.F.R. 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons his statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the resons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) ages of each other when either, directly or indirectly, one concern controls or has the power to control both.
with regard Charles Sa	d to the	nat rights under contract or law have been conveyed to and remain with the small business concern identified above invention, entitled ANIMAL MODELS OF HUMAN PROSTATE CANCER PROGRESSION by inventor(s) Karen Klein, Owen Witte and Robert Reiter described in
b)		the specification filed herewith. provisional application serial no, filed non-provisional application serial no. 08/951,143, filed October 15, 1997 patent no, issued
rights to the qualify as under 37 C	ne inven an inde I.F.R. 1	by the above-identified small business concern are not exclusive, each individual, concern or organization having ation is listed below* and no rights to the invention are held by any person, other than the inventor, who could not pendent inventor under 37 C.F.R. 1.9(c) or by any concern which would not qualify as a small business concern .9(d) or a nonprofit organization under 37 C.F.R. 1.9(e). *NOTE: Separate verified statements are required from n, concern or organization having rights to the invention averring to their status as small entities. (37 C.F.R. 1.27)
NÂME _		The Regents of the University of California
ADDRESS NAME	U MOIV	300 Lakeside Drive, 22nd Floor, Oakland, California 94612-3550 (BUAL b) SMALL BUSINESS CONCERN 0) M NONPROFIT ORGANIZATION
ADDRESS	☐ MDIV	DUAL b) □ SMALL BUSINESS CONCERN c) □ NONPROPIT ORGANIZATION
contity stati	us prior	eduty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which nuity is no longer appropriate. (37 C.F.R. 1.28(b))
are believe made are p	ed to be punishal ments n	hat all statements made herein of my own knowledge are true and that all statements made on information and belief true; and further that these statements were made with the knowledge that willful false statements and the like so ble by fine or imprisonment, or both under Section 1001 of Title 18 of the United States Code, and that such willful may jedpardize the validity of the application, any patent issuing thereof, or any patent to which this verified ted.
NAME:		Donald B. Rice, Ph. D.
TITLE		President and CEO
ADDRESS	S:	1701 Colorado Avenue, Santa Monica California 90404
SIGNATU	TRE :	_ donald B Rice Date: 6/8/98

The specification of which

or PCT international filing date of this application.

6263950694

MANDEL & ADRIANO

United States Patent Application

COMBINED DECLARATION AND POWER OF ATTORNEY

As a below named inventor I hereby declare that: my residence, post office address and citizenship are as stated below next to my name; that

I verily believe I am the original, first and sole inventor (if only one name is listed below) or a joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: ANIMAL MODELS OF HUMAN PROSTRATE CANCER PROGRESSION

a. I is attached hereto	er 15, 1997 as application serial no. 08.	/951 143 and ups amended on	(if applicable) (in the case of a	DCT.
	ed and claimed in international no	filed and as amended on	(if any), which I have review	
I hereby state that I have any amendment referred t	reviewed and understand the contents of above.	f the above-identified specification,	including the claims, as amended	d by
l acknowledge the duty to Federal Regulations, § 1	o disclose information which is material 56 (attached hereto).	to the patentability of this applicati	ion in accordance with Title 37, C	ode of
certificate listed below and that of the application on a	nave been filed as follows:	n application for patent or inventor	s certificate having a filing date b	
		, CLAIMING PRIORITY UNDER 35 US		-
COUNTRY	APPLICATION NUMBER	DATE OF FILING	DATE OF ISSUE	
		(day, month, year)	(day, month, year)	\dashv
	ALL FOREIGN APPLICATION(S). IF ANY.	FILED BEFORE THE PRIORITY APP	LICATION(S)	
COLYTRY	APPLICATION NUMBER	DATE OF FILING (day, month, year)	DATE OF ISSUE (day, mouth, year)	
below and, insofar as the	t under Title 35, United States Code, § subject matter of each of the claims of first paragraph of Title 35, United States	this application is not disclosed in t	he prior United States application	n in the
defined in Title 37, Code	of Federal Regulations, § 1.56(a) which	h occurred between the filing date	of the prior application and the na	itional

U.S. APPLICATION NUMBER	DATE OF FILING (day, month, year)	STATUS (patented, peufling, abandoned)
(4.17)		
CS. AT DICATION NOTICE		

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

u.s. provisional application number	DATE OF FILING (Day, Month, Year)
08/732,676	October 15, 1996

6263950694

I hereby appoint the following attorney(s) and/or patent agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith:

Sarah B. Adriano

Reg. No. 34,470

SaraLynn Mandel

Reg. No. 31,853

I hereby authorize them to act and rely on instructions from and communicate directly with the person/assignee/attorney/firm/ organization who/which first sends/sent this case to them and by whom/which I hereby declare that I have consented after full disclosure to be represented unless/until I instruct Mandel & Adriano to the contrary.

Please direct all correspondence in this case to Mandel & Adriano at the address indicated below:

Mandel & Adriano 35 No. Arroyo Parkway, Suite 60 Pasadena, California 91103

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

!	Full Name	Family Name	First Given Name	Second Given Name
	Of Inventor	Sawyers	Charles	L.
0	Residence	City	State or Foreign Country	Country of Citizenship
ğ	& Citizenskip	Los Angeles	CA	USA
1	Post Office	Post Office Address	City	State & Zip Code/Country
	Address	177 S. Westgate Avenue	Los Angeles	CA 90049/USA
Sign	sture of Inventor 2	101: Climber I Janu	Date:	3/01/00
2	Full Name	Family Name	First Given Name	Second Given Name
,	Of Inventor	Klein	Karen	Α.
0	EResidence	City	State or Foreign Country	Country of Citizenship
	& Citizenship	Los Angeles	CA	USA
2	Post Office	Post Office Address	City	State & Zip Code/Country
	Address	174 Denslow Avenue	Los Angeles	CA 90049/USA
	sture of Laventor	202:	Date:	
2	Full Name	Family Name	First Given Name	Second Given Name
4	LAST LABOR	Litting A Lague	Little Glass Lause	Occome Other Walls
-	Of Inventor	Witte .	Owen	N.
-	1	1 '		
-	Of Inventor	Witte .	Owen	N.
0	Of Inventor Residence	Witte . City	Owen State or Foreign Country	N. Country of Citizenship
0	Of Inventor Residence & Citizenship	Witte City Sherman Oaks	Owen State or Foreign Country CA	N. Country of Citizenship USA
0	Of Inventor Residence & Citizenship Post Office	Witte City Sherman Oaks Post Office Address 14727 Sutton Drive	Owen State or Foreign Country CA City	N. Country of Citizenship USA State & Zip Code/Country CA 91403/USA
0 3 Sign	Of Inventor Residence & Citizenship Post Office Address	Witte City Sherman Oaks Post Office Address 14727 Sutton Drive	Owen State or Foreign Country CA City Sherman Oaks Date:	N. Country of Citizenship USA State & Zip Code/Country CA 91403/USA
0 3 Sign	Of Inventor Residence & Citizenship Post Office Address ature of Inventor	Witte City Sherman Oaks Post Office Address 14727 Sutton Drive 203: Faquity Name	Owen State or Foreign Country CA City Sherman Oaks Date:	N. Country of Citizenship USA State & Zip Code/Country CA 91403/USA Second Given Name
0 Sign	Of Inventor Residence & Citizenship Post Office Address ature of Inventor	Witte City Sherman Oaks Post Office Address 14727 Sutton Drive 203:	Owen State or Foreign Country CA City Sherman Oaks Date: First Given Name Robert	N. Country of Citizenship USA State & Zip Code/Country CA 91403/USA Second Given Name E.
0 Sign	Of Inventor Residence & Citizenship Post Office Address ature of Inventor Full Name Of Inventor Residence	Witte City Sherman Oaks Post Office Address 14727 Sutton Drive 203: Faquity Name Reiter City	Owen State or Foreign Country CA City Sherman Oaks Date: First Given Name Robert State or Foreign Country	N. Country of Citizenship USA State & Zip Code/Country CA 91403/USA Second Given Name E. Country of Citizenship
0 3 Sign	Of Inventor Residence & Citizenship Post Office Address ature of Inventor Full Name Of Inventor	City Sherman Oaks Post Office Address 14727 Sutton Drive 203: Faquity Name Reiter	Owen State or Foreign Country CA City Sherman Oaks Date: First Given Name Robert	N. Country of Citizenship USA State & Zip Code/Country CA 91403/USA Second Given Name E. Country of Citizenship USA
0 3 Sign	Of Inventor Residence & Citizenship Post Office Address ature of Inventor Full Name Of Inventor Residence	Witte City Sherman Oaks Post Office Address 14727 Sutton Drive 203: Faquity Name Reiter City	Owen State or Foreign Country CA City Sherman Oaks Date: First Given Name Robert State or Foreign Country	N. Country of Citizenship USA State & Zip Code/Country CA 91403/USA Second Given Name E. Country of Citizenship USA State & Zip Code/Country
O Sign	Of Inventor Residence & Citizenship Post Office Address ature of Inventor Full Name Of Inventor Residence & Citizenship	Witte City Sherman Oaks Post Office Address 14727 Sutton Drive 203: Faquily Name Reiter City Los Angeles	Owen State or Foreign Country CA City Sherman Oaks Date: First Given Name Robert State or Foreign Country CA	N. Country of Citizenship USA State & Zip Code/Country CA 91403/USA Second Given Name E. Country of Citizenship USA

§ 1.56 Duty to disclose information material to patentability.

6263950694

- A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filling and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is canceled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is canceled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by \$§ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:
 - (1) * prior art cited in search reports of a foreign patent office in a counterpart application, and
- the closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office
- (b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and
- being made of record in the application, and

 (1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim;
 - (2) It refutes, or is inconsistent with, a position the applicant takes in:
 - (i) Opposing an argument of unpatentability relied on by the Office, or
 - (ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the prependerance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

- [1] (c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:
 - (1) Each inventor named in the application:

4 7 4

- (2) Each attorney or agent who prepares or prosecutes the application; and
- (3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.
- (d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.

MANDEL & ADRIANO

United States Patent Application

COMBINED DECLARATION AND POWER OF ATTORNEY

As a below named inventor I hereby declare that: my residence, post office address and citizenship are as stated below next to my name: that

I verily believe I am the original, first and sole inventor (if only one name is listed below) or a joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: ANIMAL MODELS OF HUMAN PROSTRATE CANCER PROGRESSION

The state of the s	osk i kodiasolok				
filed application) described an and for which I solicit a United I hereby state that I have review any amendment referred to about 1 hereby state that I have review any amendment referred to about 1 hereby state that I have review any amendment referred to about 1 hereby state that I have review any amendment referred to about 1 hereby state that I have review any amendment referred to about 1 hereby state that I have review 1 hereby state that	I States patent. wed and understand the contents o ove. lose information which is material	filed and as am	ended on	-	niewed ded by
cemicate listed below and have the application on the base in such applications have been such applications have been applications.	benefits under Title 35, United Stave also identified below any foreign asis of which priority is claimed: we been filed. been filed as follows:	n application for patent o	or inventor's o	ertificate having a filing dat	
	FOREIGN APPLICATION(S), IF ANY,	CLAIMING PRIORITY UN	(DER 35 USC §	119	
(TOUNTRY	APPLICATION NUMBER	DATE OF FILING (day, month, year)		DATE OF ISSUE (day, month, year)	
AT I D	OREIGN APPLICATION(S), IF ANY,	FILED DEEODE THE DDIO	DITV ADDI 10	CATION(S)	
O NTRV	APPLICATION NUMBER	DATE OF FILING (day, month, year)	MIT AFFLIC	DATE OF ISSUE (day, month, year)	
below and, insofar as the subjemanner provided by the first p	er Title 35, United States Code, § ect matter of each of the claims of paragraph of Title 35, United States ederal Regulations, § 1.56(a) which e of this application.	this application is not dis s Code, § 112, I acknowl	closed in the edge the duty	prior United States applicat to disclose material informa	ion in the ation as
U.S. APPLICATION NUM	IBER DATE OF FILIN	G (day, month, year)	STATU	S (patented, pending, abandoned)
I hereby claim the benefit und	er Title 35. United States Code §	119(e) of any United Stat	es provisiona	al application(s) listed below	
1: S PROVISION	AL APPLICATION NUMBER	D	ATE OF FILIN	(G (Day, Month, Year)	

October 15, 1996

U.S. PROVISIONAL APPLICATION NUMBER

08/732,676

I hereby appoint the following attorney(s) a. or patent agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith:

Sarah B. Adriano

Reg. No. 34,470

SaraLynn Mandel

Reg. No. 31,853

I hereby authorize them to act and rely on instructions from and communicate directly with the person/assignee/attorney/firm/ organization who/which first sends/sent this case to them and by whom/which I hereby declare that I have consented after full disclosure to be represented unless/until I instruct Mandel & Adriano to the contrary.

Please direct all correspondence in this case to Mandel & Adriano at the address indicated below:

Mandel & Adriano 35 No. Arroyo Parkway, Suite 60 Pasadena, California 91103

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

	Full Name Of Inventor	Family Name Sawyers	First Given Name		Second Given Name L
	Residence & Citizenship	City Los Angeles	State or Foreign Country CA		Country of Citizenship USA
	Post Office Address	Post Office Address 177 S. Westgate Avenue	City Los Angeles		State & Zip Code/Country CA 90049/USA
gjira	ture of Inventor 2	01:		Date:	
	Full Name Of Inventor	Family Name - Klein	First Given Name Karen		Second Given Name A.
	Residence & Citizenship	City Los Angeles	State or Foreign Country CA		Country of Citizenship USA
	Post Office Address	Post Office Address 174 Denslow Avenue	City Los Angeles		State & Zip Code/Country CA 90049/USA
ign	iture of Inventor 2	02: Kama Klund, PhD		Date:	6/00
-	Full Name Of Inventor	Family Name Witte	First Given Name Owen		Second Given Name
1	Residence & Citizenship	City Sherman Oaks	State or Foreign Country CA		Country of Citizenship USA
3	Post Office Address	Post Office Address 14727 Sutton Drive	City Sherman Oaks		State & Zip Code/Country CA 91403/USA
Sign	ature of Inventor 2	203:		Date:	.,
2	Full Name Of Inventor	Family Name Reiter	First Given Name Robert	<u> </u>	Second Given Name E
)	Residence & Citizenship	City Los Angeles	State or Foreign Country CA		Country of Citizenship USA
1	Post Office Address	Post Office Address 10511 Kinnard Avenue	City Los Angeles		State & Zip Code/Country CA 90024-6017/USA

§ 1.56 Duty to disclose information material to patentability.

100

- A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is canceled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by \$\\$ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:
- (1) prior art cited in search reports of a foreign patent office in a counterpart application, and
 (2) the closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.
- (b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and

 (1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim.

 or

 (2) It refutes, or is inconsistent with, a position the applicant takes in:

 (i) Opposing an argument of unpatentability relied on by the Office, or

 (ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

- (c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

 (1) Each inventor named in the application:

 (2) Each attorney or agent who prepares or prosecutes the application; and
- (3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.
- (d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.

MANDEL & ADRIANO

4 H H 19 - 1 H 19 - 1 19 1 X 2 2 31

United States Patent Application

COMBINED DECLARATION AND POWER OF ATTORNEY

As a below named inventor I hereby declare that; my residence, post office address and citizenship are as stated below next to my name; that

I verily believe I am the original, first and sole inventor (if only one name is listed below) or a joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: ANIMAL MODELS OF HUMAN PROSTRATE CANCER PROGRESSION The specification of which a. is attached hereto b. X was filed on October 15, 1997 as application serial no. 08/951,143 and was amended on (if applicable) (in the case of a PCT-(if any), which I have reviewed filed application) described and claimed in international no. filed and as amended on and for which I solicit a United States patent. I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, § 1.56 (attached hereto). I hereby claim foreign priority benefits under Title 35, United States Code, § 119/365 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on the basis of which priority is claimed: no such applications have been filed. b. Such applications have been filed as follows: FOREIGN APPLICATION(S), IF ANY, CLAIMING PRIORITY UNDER 35 USC § 119 DATE OF ISSUE DATE OF FILING APPLICATION NUMBER (day, mouth, year) COUNTRY (day, month, year) ALL FOREIGN APPLICATION(S), IF ANY, FILED BEFORE THE PRIORITY APPLICATION(S) DATE OF ISSUE

hereby claim the benefit under Title 35, United States Code, § 120/365 of any United States and PCT international application(s) listed selow and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the nanner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as lefined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national

APPLICATION NUMBER

DATE OF FILING

(day, mouth, year)

(day, month, year)

lefined in Title 37, Code of Federal R	application.	STATUS (patented, pending, abandoned)
U.S. APPLICATION NUMBER	DATE OF FILING (day, month, year)	SIXIOS
G. A. S.	Visited States Code § 119(e) of any United Sta	tes provisional application(s) listed below:

hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional appropriate the benefit under Title 35, United States Code § 119(e) of any United States provisional approximately contains the benefit under Title 35, United States Code § 119(e) of any United States provisional approximately contains the benefit under Title 35, United States Code § 119(e) of any United States provisional approximately contains the benefit under Title 35, United States Code § 119(e) of any United States Provisional approximately contains the benefit under Title 35, United States Code § 119(e) of any United States Provisional approximately contains the benefit under Title 35, United States Code § 119(e) of any United States Provisional approximately contains the benefit under Title 35, United States Code § 119(e) of any United States Provisional approximately contains the benefit under Title 35, United States Code § 119(e) of any United States Provisional approximately contains the benefit under the benefi DATE OF FILING (Day, Month, Yest) U.S. PROVISIONAL APPLICATION NUMBER October 15, 1996

08/732,676

. -

COUNTRY

I hereby appoint the following attorney(s) or pate.

Trademark Office connected herewith:

or patent agent(s) to prosecute this application and to transact all business in the Patent and

Sarah B. Adriano

Reg. No. 34,470

SaraLynn Mandel

Reg. No. 31,853

I hereby authorize them to act and rely on instructions from and communicate directly with the person/assignee/attorney/firm/ organization who/which first sends/sent this case to them and by whom/which I hereby declare that I have consented after full disclosure to be represented unless/until I instruct Mandel & Adriano to the contrary.

Please direct all correspondence in this case to Mandel & Adriano at the address indicated below:

Mandel & Adriano 35 No. Arroyo Parkway, Suite 60 Pasadena, California 91103

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

~	uli Name Of Inventor	Family Name Sawyers	First Given Name Charles State or Foreign Country	<u> </u>	Second Given Name L Country of Citizenship
{ -	Residence	City Los Angeles	CA CA		USA State & Zip Code/Country
	Cittzenship Ener Office	Post Office Address	City Los Angeles		CA 90049/USA
	Address are of Inventor 2	177 S. Westgate Avenue 01:		Date.	and Norma
_	3 %) \$	Family Name	First Given Name		Second Gives Name A.
	Pall Name Of Inventor	Klein	State or Foreign Country		Country of Citizenship USA
	Residence Citizenship	City Los Angeles	CA City		State & Zip Code/Country CA 90049/U\$A
2	Post Office	Post Office Address 174 Densiow Avenue	Los Angeles	Date:	
Sign	stare of Inventor	202:	First Given Name		Second Given Name
2	Full Name	Family Name Witte	Owen State or Foreign Country		Country of Citizenship USA
0	Of Inventor Residence	City	CA		State & Zip Code/Country CA 91403/USA
3	& Citizenship	Post Office Address	Sherman Oaks	Date:	110,2000
	Address gnature of Inven		wall	100	Second Gives Name
		Family Name	Robert	itry	E. Country of Citizenship
2	Of Invento	Balese	State or Foreign Coun		State & Zip Code/Country
•	Residence	bip Los Angeles	Clty Los Angeles	Date	CA 90024-6017/USA
	4 Post Offic	10511 Kinnard Avenue	A CONTRACTOR OF THE PARTY OF TH	Date	

§ 1.56 Duty to disclose information material to patentability.

N

ũ

- A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective (a) patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is canceled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is canceled or withdrawn from consideration need not be submitted if the information is not material to the patchtability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:
 - prior art cited in search reports of a foreign patent office in a counterpart application, and (1)
- the closest information over which individuals associated with the filing or prosecution of a patent application (2)believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.
- Under this section, information is material to patentability when it is not cumulative to information already of record or (b) being made of record in the application, and It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim; (1) or It refutes, or is inconsistent with, a position the applicant takes in:
 - (2) Opposing an argument of unpatentability relied on by the Office, or (i) Asserting an argument of patentability. (ii)

1 A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

- M. Individuals associated with the filing or prosecution of a patent application within the meaning of this section are: (c)
 - Each inventor named in the application: (1)

1 1 1

- Each attorney or agent who prepares or prosecutes the application; and (2)
- Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.
- Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.

MANDEL & ADRIANO

United States Patent Application

COMBINED DECLARATION AND POWER OF ATTORNEY

As a below named inventor I hereby declare that: my residence, post office address and citizenship are as stated below next to my name; that

I verily believe I am the original, first and sole inventor (if only one name is listed below) or a joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: ANIMAL MODELS OF HUMAN PROSTRATE CANCER PROGRESSION

The specification of which

or PCT international filing date of this application.

U.S. APPLICATION NUMBER

	15, 1997 as application serial no. 08/ and claimed in international no. ited States patent.	951,143 and was amended on filed and as amended on	(if applicable) (in the case of a (if any), which I have revi	
I hereby state that I have re any amendment referred to	viewed and understand the contents of above.	f the above-identified specification	i, including the dlaims, as amended	d by
I acknowledge the duty to d Federal Regulations, § 1.56	lisclose information which is material (attached hereto).	to the patentability of this applica	tion in accordance with Title 37, C	Code of
certificate listed below and	rity benefits under Title 35, United Su have also identified below any foreign the basis of which priority is claimed: have been filed. we been filed as follows:	n application for patent or invento	r's certificate having a filing date t	ntor's
COUNTRY	APPLICATION NUMBER	DATE OF FILING	DATE OF ISSUE	
		(day, month, year)	(day, month, year)	[
AI	L FOREIGN APPLICATION(S), IF ANY,	FILED BEFORE THE PRIORITY AP	PLICATION(S)	<u>i</u>
COUNTRY	APPLICATION NUMBER	DATE OF FILING	DATE OF ISSUE	
Grand Exercises		(day, month, year)	(day, month, year)	
I hereby claim the benefit to below and, insofar as the s	mder Title 35, United States Code, § ubject matter of each of the claims of st paragraph of Title 35, United State	this application is not disclosed in	the prior United States applicatio	in the

I hereby claim the benefit under Title 35,	United States Code § 119(e) of any United States provisions	al application(s) listed below:

DATE OF FILING (day, month, year)

defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national

STATUS (patented, pending, abandoned)

U.S. PROVISIONAL APPLICATION NUMBER	DATE OF FILING (Day, Month, Year)		
08/732,676	October 15, 1996		

ויוחוזטבב אוזט ד

Thereby appoint the following attorney(s) and/or patent agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith:

Sarah B. Adriano

Reg. No. 34,470

U4UUUUUUU

SaraLynn Mandel

Reg. No. 31,853

I hereby authorize them to act and rely on instructions from and communicate directly with the person/assignee/attorney/firm/ organization who/which first sends/sent this case to them and by whom/which I hereby declare that I have consented after full disclosure to be represented unless/until I instruct Mandel & Adriano to the contrary.

Please direct all correspondence in this case to Mandel & Adriano at the address indicated below:

Mandel & Adriano
35 No. Arroyo Parkway, Suite 60
Pasadena, California 91103

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

						
2	Full Name	Family Name	First Given Name		Second Given Name	
}	Of Inventor	Sawyers	Charles		<u> L</u>	
0	Residence	Clty	State or Foreign Country		Country of Citizenship	
	& Citizenship	Los Angeles	CA		USA	
1	Post Office	Post Office Address	Clty		State & Zip Code/Country	
- ### ###	Address	177 S. Westgate Avenue	Los Angeles		CA 90049/USA	
Sign	ture of Inventor 2	01:		Date:		
2		Family Name	First Given Name		Second Given Name	
	Of Inventor	Klein	Karen		A	
0 📰	Residence	City	State or Foreign Country		Country of Citizenship	
-	& Citizenship	Los Angeles	CA		USA ;	
2 1	Post Office	Post Office Address	City		State & Zip Code/Country	
4	Address	174 Denslow Avenue	Los Angeles		CA 90049/USA	
Signsture of Inventor 202:				Date:		
2	Full Name	Family Name	First Given Name		Second Given Name	
	Of Inventor	Witte	Owen		N.	
0	Residence	City	State or Foreign Country		Country of Citizenship	
	& Citizenship	Sherman Oaks	CA		USA	
3	Post Office	Post Office Address	City		State & Zip Code/Country	
	Address	14727 Sutton Drive	Shermen Oaks		CA 91403/USA	
Signature of Inventor 203:				Date:	<u> </u>	
2	Full Name	Family Name	First Given Name Robert		Second Given Name	
•	Of Inventor	Rester			E.	
0	Residence	City	State or Foreign Country CA		Country of Citizenship	
	& Citizenship	Los Angeles			USA	
4	Post Office	Post Office Address	City		State & Zip Code/Country	
	Address	10511 Kinnard Avenue	Los Angelos		CA 90024 6017/USA	
Signature of Inventor 204: Date: 3 (7 60						

§ 1.56 Duty to disclose information material to patentability.

- A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is canceled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is canceled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:
 - (1) prior art cited in search reports of a foreign patent office in a counterpart application, and
- the closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.
- (b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and
 - (1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim;
- or = (2) It refutes, or is inconsistent with, a position the applicant takes in:
 (i) Opposing an argument of unpatentability relied on by the Office, or
 (ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

- (c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

 (1) Each inventor named in the application:
 - (2) Each attorney or agent who prepares or prosecutes the application; and
- (3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.
- (d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.